UNITED NATIONS

Framework Convention on Climat Change

Distr.
GENERAL

FCCC/SBI/2000/INF.7
21 August 2000

ENGLISH ONLY

SUBSIDIARY BODY FOR IMPLEMENTATION
Thirteenth session
Lyon, 11-15 September 2000
Item 10 (a) of the provisional agenda

NATIONAL COMMUNICATIONS FROM PARTIES NOT INCLUDED IN ANNEX I TO THE CONVENTION

PROVISION OF FINANCIAL AND TECHNICAL SUPPORT

Activities of the secretariat to facilitate the provision of financial and technical support, and information on communications from Parties not included in Annex I to the Convention

Note by the secretariat

I. INTRODUCTION

A. Mandate

1. The activities of the secretariat to facilitate the provision of financial and technical support to Parties not included in Annex I to the Convention (non-Annex I Parties) for the preparation of national communications are mandated by Article 8.2 (c) of the Convention and various decisions by the Conference of the Parties (COP) (see decisions 3/CP.2, 10/CP.2, 12/CP.4 and 8/CP.5).[1]

2. Decision 10/CP.2, in particular, requests the secretariat "to facilitate assistance to Parties, particularly developing country Parties, in the preparation of their initial communications, through the organization of workshops at the regional level; to provide a forum for the exchange

[1] For the full texts of decisions adopted by the Conference of the Parties at its second, fourth and fifth sessions, see documents FCCC/CP/1996/15/Add.1, FCCC/CP/1998/16/Add.1 and FCCC/CP/1999/6/Add.1 respectively.

inventory, as well as, on request, for other elements of information in the initial communication; and to provide a report to the Subsidiary Body for Implementation (SBI) and the Subsidiary Body for Scientific and Technological Advice (SBSTA) at each of their sessions".

B. Scope

3. The present document reports on the activities undertaken by the secretariat since the twelfth sessions of the subsidiary bodies (Bonn, 12 to 16 June 2000). Section II of the report describes the activities of the secretariat to facilitate assistance to Parties, including activities to support the work of the Consultative Group of Experts on National Communications from Parties Not Included in Annex I to the Convention (CGE) and participation in regional workshops other than those of the CGE. Section III provides an overview of the status of preparation of national communications by non-Annex I Parties.[2] The report summarizes problems, constraints, issues and lessons identified by 82 non-Annex I Parties in response to a questionnaire designed and sent by the secretariat.[3]

II. ACTIVITIES OF THE SECRETARIAT

A. Support to the Consultative Group of Experts

4. Pursuant to decision 8/CP.5, paragraph 5, the UNFCCC secretariat has been facilitating the establishment and functioning of the CGE. The main objective of the Group is to improve national communications by non-Annex I Parties.

5. The CGE was established on 8 June 2000 and held its first meeting on 8 and 9 June 2000 in Bonn, Germany. An oral report of this meeting was provided by its Chairman, Mr. Jose Miguez (Brazil), to the SBI at its twelfth session.

6. The report of the first meeting of the CGE included information on its work plan and budget for the period 2000-2001 and conclusions and recommendations of its regional workshop for the Latin America and the Caribbean region.

7. The secretariat is facilitating the organization of three regional workshops of the CGE in the year 2000. The first workshop was held on 8-12 May 2000 in Mexico City, Mexico. A report on this workshop (FCCC/SBI/2000/INF.4) was made available to the SBI at its twelfth session. The second of these workshops is scheduled for 15-18 August 2000 in Nairobi, Kenya, and the third will be held on 16-20 October 2000 for the Asia and the Pacific region (venue to be decided). In March 2001 an interregional global workshop will take place at a venue to be decided. This meeting will facilitate the interregional exchange of experience that will help the

---

[2] A more detailed overview of the status of preparation of initial national communications of non-Annex I Parties will be made available on a regular basis in a table on the UNFCCC secretariat web site from September 2000 onwards. This table will summarize the responses of non-Annex I Parties to the questionnaire, as well as information provided by the Global Environment Facility, its implementing agencies and bilateral programmes.

[3] The previous report FCCC/SBI/2000/INF.1 provided a detailed description of the activities by the secretariat to facilitate the provision of financial and technical assistance and gave a rather general overview of the status of preparation of national communications. Since the preparation of that report, only limited additional activities have been undertaken by the secretariat. The present report therefore provides only updates on activities of the secretariat to facilitate assistance to Parties (section II) and focuses more on the status of preparation of initial national communications (section III).

CGE to prepare specific recommendations for the improvement of national communications from non-Annex I Parties, for consideration by the subsidiary bodies at their fourteenth sessions.

8. An email LISTSERV facilitating discussions among members of the CGE is maintained by the secretariat. Members include the experts nominated by the Parties, the three experts from organizations with relevant experience selected by the secretariat, and secretariat staff.

9. The total cost estimate for the implementation of the work plan of the CGE for the year 2000 is US$ 300,380. The SBI at its twelfth session, after considering the work plan and budget of the CGE, urged Annex II Parties to contribute financially to the work of the Group (FCCC/SBI/2000/5, para.28 (c)). To date, contributions have been received from the Governments of Finland (US$ 13,371), Germany (US$ 21,000 from the Bonn Fund) and the United States of America (US$ 150,000). The Government of Australia has pledged the sum of US$ 14,800. There is therefore a shortfall of US$ 101,209 to be funded in order for the CGE to implement its work plan for the year 2000.

B. Participation in regional workshops other than those of the CGE

10. Since the compilation of the report of the SBI on its twelfth session, the secretariat has participated in and made important contributions to the conduct of three regional workshops. The first was the West African Regional Exchange Workshop on the Preparation of National Communications of Non-Annex I Countries: Balance and Perspectives, 25-26 April 2000, Dakar, Senegal. This workshop, organized by the National Communications Support Programme[4] (NCSP), had the objective of providing a forum for experts to exchange experience in the preparation of various elements of the integration of climate change concerns into national planning and issues related to capacity-building for the effective implementation of the Convention. Forty-one participants from 20 countries attended this workshop. The workshop identified needs for financial and technical assistance for the following purposes:

(a) To improve access to information and create public awareness of the causes and impacts of climate change;

(b) To raise awareness of decision-makers on the issue of climate change;

(c) To improve national institutional capacities and frameworks for the active participation of the private sector and civil society as well as scientific and research institutions in measures to address climate change;

(d) To promote regional cooperation in the development and implementation of climate change projects through the establishment of appropriate institutions, including the setting up of regional climate change committees;

---

[4] The NCSP is implemented jointly by the United Nations Development Programme and the United Nations Environment Programme with Global Environment Facility funding. The aims of the NSCP are to promote the quality, comprehensiveness and timeliness of initial national communications from non-Annex I Parties, and to ensure timely and cost-effective implementation of GEF projects on climate change enabling activities.

(e) To improve capacities and capabilities to collect, collate, disseminate and use data and information relevant to the preparation of national communications and implementation of climate change projects;

(f) To improve synergy in the work of the Global Environment Facility (GEF) and other agencies and organizations relating to capacity-building in the area of climate change;

(g) To transform national institutions in charge of development and transfer of technology into regional centres and expand their mandates to help them assist countries in negotiating for new technologies and adapting them as appropriate to their needs.

11. The second workshop was the Regional Exchange Workshop on Climate Change for Central America, Panama City, Panama, 23-26 May 2000. The meeting, organized by the NCSP, aimed at identifying ways of improving the quality of greenhouse gas (GHG) inventories in the land-use change and forestry (LUCF) sector and of national vulnerability and adaptation assessments. It aimed at improving the process of preparing national communications. Twenty-three participants from seven countries attended the workshop. Specific issues identified under LUCF included the following:

(a) The most important LUCF source category parameters for the countries of the region are "changes in forest and other woody biomass stocks". Key variables in this category are "managed forests" and "annual increment in biomass";

(b) The area of managed forests expressed as a percentage of total forested area varies from 1.5 to 100 because of varying interpretations of the IPCC definition;

(c) The use of default data for the annual increment in biomass is potentially a source of uncertainty of net CO_2 emissions and removals;

(d) Data on stocks and increment data from tree crop plantations, such as coffee, are not available for most participating countries;

(e) Uncertainties in GHG emissions and removals in the LUCF sector for the region need to be reduced in the following areas: carbon stocks, changes in carbon stocks and rates of land-use change.

12. The main conclusions of the vulnerability and adaptation assessment discussions were as follows:

(a) The integration of climate scenarios with socio-economic scenarios has proved to be a very useful tool in understanding the vulnerability of the region to expected climate change and the requirements for responsible adaptation strategies, in the context of evolving national sustainable development objectives;

(b) Important progress has been made in advancing from identifying adaptation options and planning (stage I activities[5]) towards building capacity to prepare for adaptation

---

[5] Decision 11/CP.1, paragraph 1 (d) defines different stages of adaptation activities depending on the short, medium and long-term strategies. For a more detailed definition of these stages, please refer to decision 11/CP.1 contained in the report of the Conference of the Parties on its first session (FCCC/CP/1995/7/Add.1).

(stage II activities). The region is ready to serve in the pilot phase of the NCSP plans for designing the structural elements of a stage II adaptation programme.

13. The third workshop was the Eastern and Southern African Regional Training and Thematic Workshop on Vulnerability and Adaptation to Climate Change, 4-7 July 2000, Nairobi, Kenya, also organized by the NCSP. The principal objective of the workshop was to provide training in methodology issues relating to vulnerability and adaptation assessments, including the preparation of climate and socio-economic scenarios. The workshop also aimed at providing a forum for experts to exchange experience in the preparation of vulnerability and adaptation assessments in relevant sectors of their national economies. Twenty-one participants from 12 countries attended the workshop. The workshop identified the following needs for further financial and technical assistance:

(a) To increase access to training opportunities for African experts on methodologies for vulnerability and adaptation assessments;

(b) To develop models which are more applicable to the African region;

(c) To build capacity to facilitate the effective collection, collation and storage of data and information to enable better assessments of vulnerability and identification of adaptation options to the adverse impacts of climate change;

(d) To promote regional cooperation in the development and implementation of adaptation measures in the priority areas of water resources, agriculture and coastal zones;

(e) To improve stakeholder participation in the identification of measures to improve the adaptive capacity of African country Parties to the impacts of climate change.

III. STATUS OF PREPARATION OF NATIONAL COMMUNICATIONS

14. Information in this section is based on initial national communications submitted so far and national responses from non-Annex I Parties to the questionnaire received by the secretariat during the period April to July 2000, as well as information provided by the GEF, its implementing agencies and bilateral programmes.

15. A brief summary of the main findings is given below.

A. Status of preparation of initial national communications

16. As of 3 August 2000, 27 initial national communications had been submitted to the secretariat in the following chronological order: Jordan, Argentina, Uruguay, Senegal, Federated States of Micronesia, Mexico, Republic of Korea, Zimbabwe, Armenia, Kazakhstan,[6] Mauritius, Egypt, Georgia, Uzbekistan, Indonesia, Cook Islands, Kiribati, Nauru, Samoa, Tuvalu, Vanuatu, Lebanon, Chile, El Salvador, Lesotho, Philippines and Azerbaijan.

17. Argentina, the Federated States of Micronesia and Uruguay have each also submitted an addendum to their initial national communication.

---

[6] Pursuant to Article 4.2 (g) of the Convention, Kazakhstan notified the Depositary on 23 March 2000 that it intends to be bound by Article 4.2 (a) and (b) of the Convention.

18. The majority of non-Annex I Parties (96 Parties) are presently engaged in the process of preparing their initial national communications. Of these, 15 Parties have completed their communications and expect to submit them in the course of 2000. Another 30 Parties have mentioned their intention to submit their initial national communications before the end of 2000 although they have yet to finalize the communications. In addition, 40 Parties expect to finalize their initial national communications in 2001 and the rest in 2002 or later.

19. Chad, China, Colombia and Tajikistan have recently received approval for funding from the GEF for the preparation of their initial national communications.

20. India, Kyrgyzstan and Palau have recently submitted project proposals for GEF funding.

21. Seven non-Annex I Parties indicated that they have yet to start work on the preparation of their national communications. Another seven non-Annex I Parties have not provided any information relating to the preparation of their national communications; of these Angola and Sao Tome and Principe only recently ratified or acceded to the Convention.

B. Status of preparation of second national communications

22. Uruguay has received approval for GEF funding of a project to prepare its second national communication. Mexico and Senegal have expressed their intention to start preparation of their second national communications. Fourteen other Parties have submitted project proposals for interim funding of enabling activities phase II, which is intended to strengthen activities initiated during the preparation of their initial national communications and may lead to project proposals for the second national communications.

C. Questionnaire on the status of preparation of initial national communications

23. To obtain an overview of the state of preparation of national communications and to better identify the related needs of developing country Parties, the secretariat has prepared a questionnaire to collect information from Parties on the status of preparation of initial national communications. The questionnaire is distributed on a regular basis by the secretariat to all non-Annex I Parties. Non-Annex I Parties are invited to update and revise the information provided in this report.

24. A total of 82 non-Annex I Parties responded to the last questionnaire distributed by the secretariat during the period April to July 2000. The responses to the questionnaire provided feedback on specific elements of the initial national communications of non-Annex I Parties, including activities and studies being undertaken, as well as the main problems and constraints encountered in the process. Of the 82 respondents, 29 were from Africa, 24 from Asia and the Pacific, 25 from Latin America and the Caribbean and 4 from Eastern Europe.

D. Issues identified

25. A number of issues pertaining to the preparation of initial national communications by non-Annex I Parties have been identified. These are briefly described under the various elements of the initial national communications provided by the guidelines for the preparation of initial national communications of non-Annex I Parties (decision 10/CP.2, annex).

General problems and constraints

26. A number of general problems and constraints encountered by non-Annex I Parties during the preparation of their initial national communications have been identified. Some of these are listed below.

27. There is a lack of national experts and trained persons, suitable national institutions and arrangements and non-availability or inadequacy of technical assistance (see figure 1).

28. Other problems and constraints relate to the adequacy and availability of financial assistance; information exchange; and the timeliness of technical and financial assistance. In addition, Bahrain, Bhutan and Costa Rica stressed constraints related to the availability of data and equipment.

29. Some Parties indicated that they had procedural problems with the GEF and its implementing agencies' assistance. These problems included initial divergence regarding the meaning and execution of the national projects, delays in transfer of funds and the provision of technical feedback to reports and studies. The inadequacy of external assistance was identified mainly in the initial phase of work and has improved since then. The National Communications Support Programme was mentioned as having helped in improving the technical assistance.

30. Concerns and constraints vary from region to region. For example, the respondents from Africa seemed to have concerns with the adequacy of technical and financial assistance, while respondents from Latin America and the Caribbean, Asia and the Pacific and Eastern Europe seemed to be more concerned with national institutions and arrangements in addition to availability of technical assistance.

31. About 60 Parties outlined their needs for further capacity-building in order to prepare their national communications and to further incorporate climate change concerns into national planning. Capacity needs were identified in areas such as institutional strengthening for dealing with climate change in general; public awareness and education; training and exposure of local experts; strengthening of scientific research and technological development programmes; and development of regional and national research centres. The need for improvement of linkages between academia and national environmental and socio-economic problems was also stressed by some respondents. In the opinion of respondents, capacity-building should not only involve government agencies, but also local government, the private sector, non-governmental organizations and local communities.

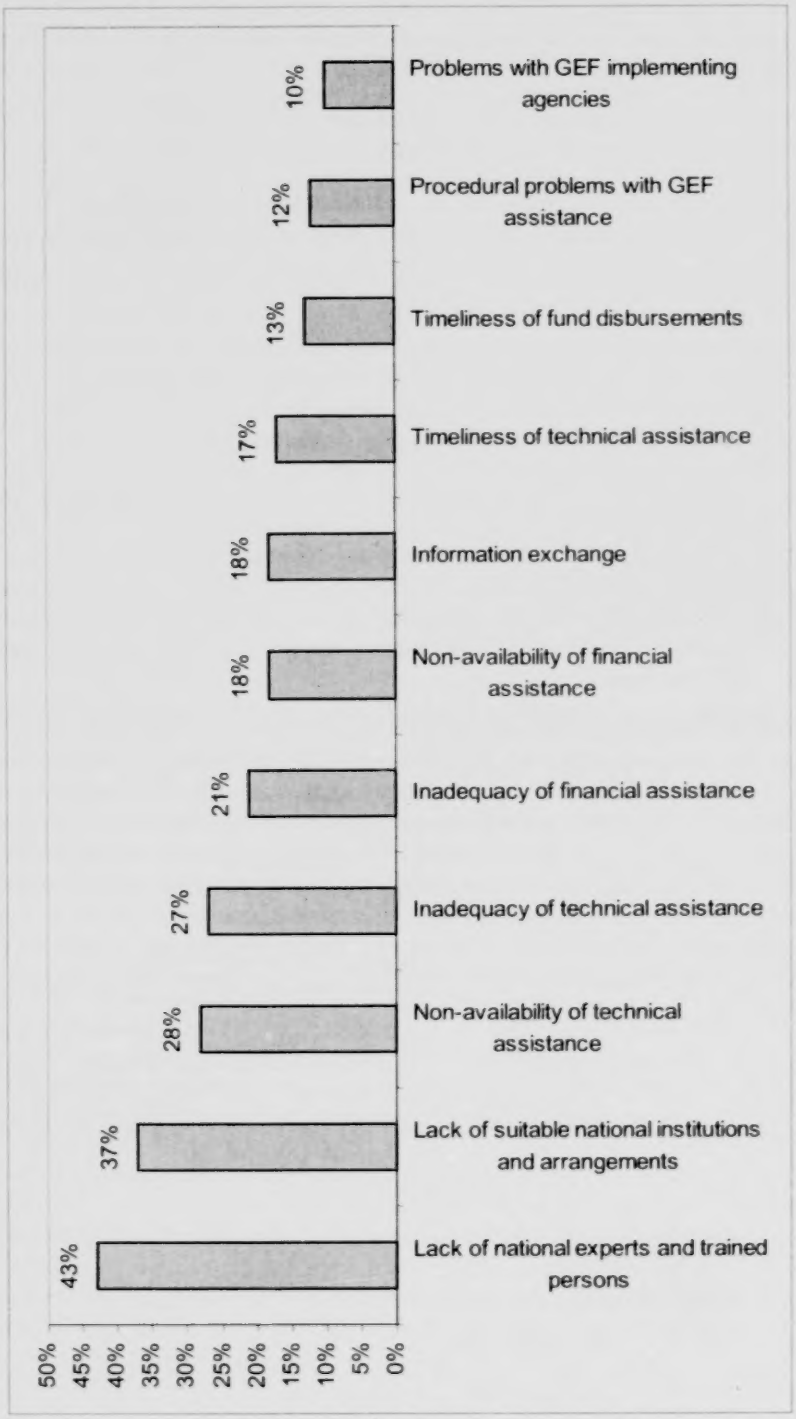


Figure 1: General problems and constraints indicated by reporting non-Annex I Parties

Greenhouse gas inventories

32. Most non-Annex I Parties reporting information on the base year used for the preparation of their national inventories of greenhouse gases used the **base years** proposed by the UNFCCC guidelines for the preparation of initial national communications. Sixty-two per cent and 27 per cent of the respondents used 1994 and 1990 as the base years, respectively. Eleven per cent of respondents used other base years, mainly 1995, due to the lack of national data for either 1990 or 1994 (see figure 2 (a)).

33. A number of countries indicated that they had developed data sets for years other than 1994 and 1990. Many of them, however, stressed that they did not have complete sets of data covering all relevant source categories of the Revised 1996 IPCC Guidelines for National Greenhouse Gas Inventories.

34. Many respondents (65 per cent) used the Revised 1996 IPCC Guidelines, another 10 per cent used the IPCC 1995 Guidelines, while 17 per cent used both guidelines. Eight per cent of the respondents have modified the IPCC Guidelines to accommodate local conditions, for example by adding new source categories (see figure 2 (b)).

Figure 2(a): Base years used for GHG inventories

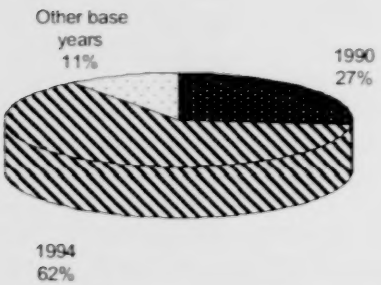
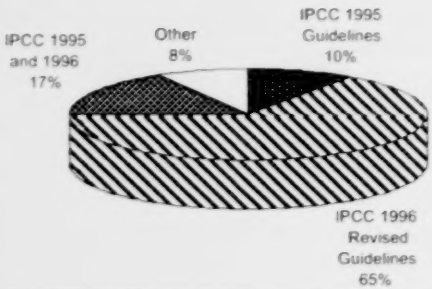


Figure 2 (b): Guidelines used for GHG inventories



35. Sixty-seven respondents have established a technical **GHG inventory team**, while most of those which have yet to establish one intend to do so. Twenty-five respondents indicated that they are setting up **databases** in a more systematic and continuous manner for the preparation of GHG inventories. Almost all remaining Parties (46) expressed their intention to develop a GHG inventory database in the future if financial assistance is forthcoming.

36. The **main problems** identified during the preparation of GHG inventories related to the lack of reliable data, particularly in the areas of land-use change and forestry and solvents; insufficient national capacity for collection, classification, management and analysis of data; the use of uncertain emission factors; and problems in applying IPCC methodology in certain sectors.

37. Respondents from the African and Latin America and the Caribbean regions identified the lack of local emission factors, followed by lack of reliable activity data and the limitations in the application of IPCC methodology in certain sectors as the main problems in preparing their

GHG inventories. In the Asia and the Pacific region, the main problem encountered was the lack of reliable activity data, followed by a lack of appropriate local emission factors and the need for trained national experts. Two respondents from Eastern Europe stressed the lack of both reliable data and local emission factors and the limitations of the IPCC methodology (see figure 3).

General description of steps

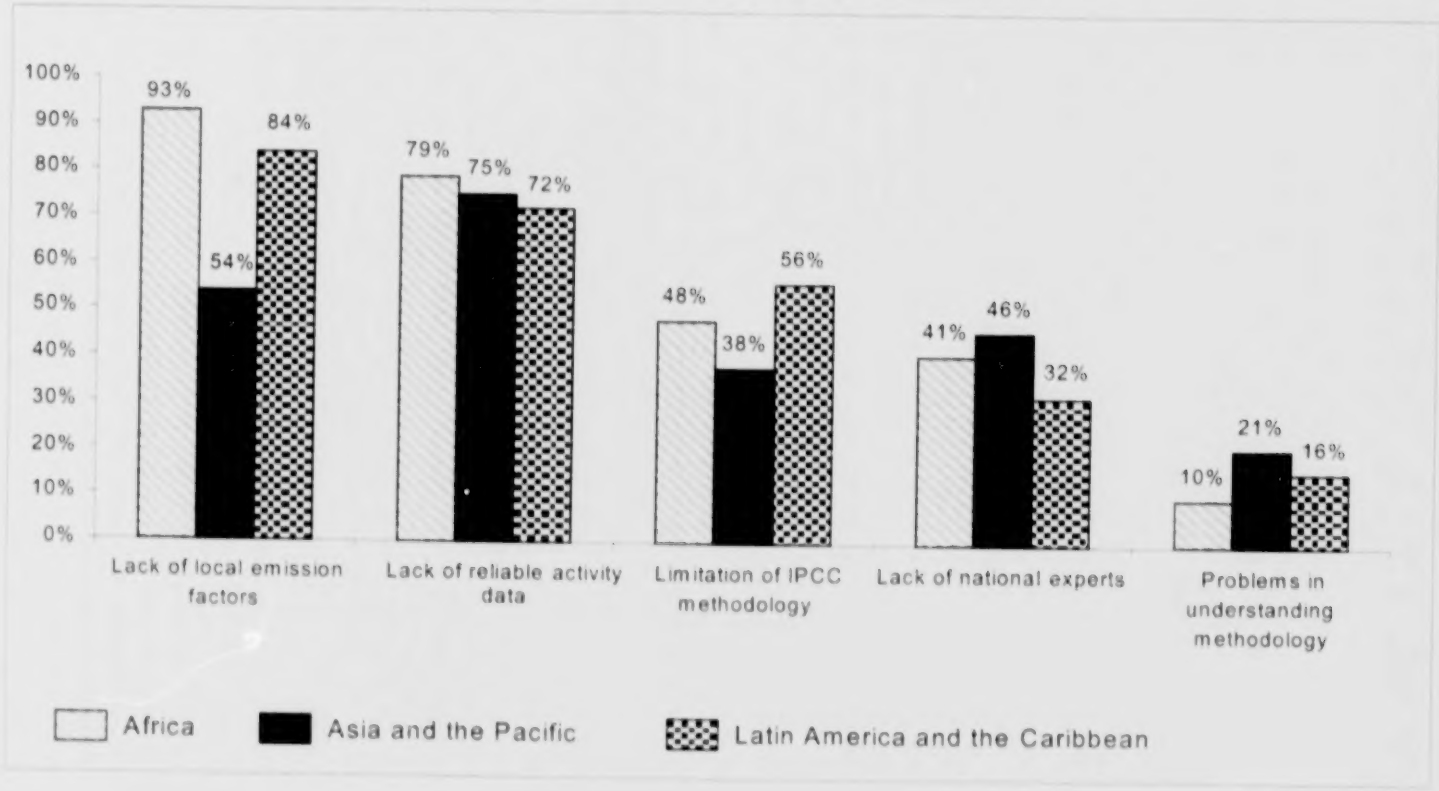
38. Forty respondents reported that they have developed programmes related to **national sustainable** development, while most of the remaining respondents confirmed their intention to develop such programmes in the future. Many of the respondents intend to establish national **research programmes** dedicated to climate change. Seventeen non-Annex I countries already have such programmes in place. Only a minority of countries reported on the elaboration of national climate change **educational** (10 Parties) and **public awareness programmes** (22 Parties). Some countries indicated that they have promoted some research, education and public awareness activities related to climate change.

39. **Systematic observation programmes** have been developed by 26 of the respondents. Thirty Parties that have yet to establish systematic observation programmes intend to do so in the future. Some Parties stressed the inadequacy of the existing observation networks to analyse climate change data and mentioned that although some systematic observation activities have been initiated they have not been integrated and fully developed.

40. **Efforts to integrate climate change concerns into medium- and long-term planning** are being made by most of the respondents (59). These efforts included the development of climate change national plans; the incorporation of climate change into national development, energy and environmental plans; and the inclusion of expenditures on climate change activities in the national budget. Other activities mentioned were the establishment of institutional frameworks (such as inter-ministerial consultative commissions on climate change or national climate change committees or forums encouraging the participation of main stakeholders in planning); the consideration of climate change concerns in the development of legal frameworks for implementing measures on energy, forestry, agriculture and the environment; the promotion of policy-makers' awareness of different policy options relating to climate change; and the provision of training to national experts. A majority of the respondents stressed, however, that they lack adequate capacity to continue and strengthen these efforts and expressed the need for financial resources and technical assistance.

41. Sixty-one non-Annex I Parties are in the process of undertaking **vulnerability assessments**. Thirty-seven of these have used or will use both climate change and socio-economic scenarios, while the rest are using only climate change scenarios. Only 17 countries considered, however, that they have adequate monitoring systems for climate change impacts on terrestrial and marine ecosystems; a majority of countries confirmed their intention to establish such systems.

Figure 3: Difficulties encountered by non-Annex I Parties in preparing GHG inventories



42. The main areas selected for vulnerability assessment are water resources, agriculture, coastal zones, forestry, human health, biodiversity, energy and human settlements, in order of priority. Other areas mentioned included tourism, fisheries, snow cover, land degradation and desertification.

43. The respondents from Africa and Eastern Europe indicated that water resources, agriculture and forestry are the three most important sectors vulnerable to the impact of climate change, while those from Asia and the Pacific and Latin America and the Caribbean regarded agriculture, water resources and coastal zones as the three most important sectors (see figure 4). These results reflect both the geographical location and the national circumstances of the respondents.

44. Thirty-nine respondents used general circulation models to generate scenarios of future climate change. The models used included the Canadian Climate Centre model (CCCM), Geophysical Fluid Dynamics Laboratory models (GFDL and GFDL-T), the Goddard Institute for Space Studies model (GISS), the United Kingdom Meteorological Office model (UKMO), the United Kingdom Office Model run 1989 (UK89), and Hadley Centre models. The MAGICC/SCENGEN model, a simple climate model, was used by some to generate regional climate scenarios. Some Parties also listed the use of the Water Balance model (WATBAL) for measuring climate change impacts in water resources, the habitat suitability index for wildlife, CERES-maize for agriculture and the Holdridge life zone classification and GAP models for forestry. Analysis of hydrodynamic and saline intrusion and beach erosion were used by some in the assessment of coastal zone vulnerability, while others employed risk analysis for appraising human health vulnerability.

45. Although only 12 Parties answered that they have developed **policy frameworks and response strategies** for **implementing adaptation measures**, 24 of the remaining Parties reported that they have started assessing adaptation options for one or more relevant sectors. In addition, another 20 respondents expect to initiate work for developing policy frameworks and response strategies to implement adaptation options.

46. The main sectors where adaptation policy frameworks and response strategies are being assessed and formulated are water resources and agriculture, followed by coastal zones, human health and forestry, in order of priority. Some Parties also mentioned initiatives being taken in the areas of energy, biodiversity, human settlements, fisheries and tourism.

47. Priority sectors varied from region to region. Respondents from the Asia and the Pacific and Latin America and the Caribbean regions highlighted the agriculture, water resources, coastal zones and human health sectors. African respondents however stressed water resources, agriculture, forestry, human health and coastal zones (see figure 5). All four respondents from Eastern Europe are preparing adaptation policy frameworks and response strategies in the areas of water resources, agriculture and forestry.

48. Nineteen respondents have completed a **GHG emissions abatement assessment**, another 29 are in the process of carrying out the assessment, and 15 have yet to initiate work. The main sectors assessed are energy, followed by land-use change and forestry, transport, agriculture, waste management and industrial processes. After the energy sector, the transport sector seems to be more relevant for respondents from Latin America and the Caribbean and Asia and the

Pacific, while the land-use and forestry assessment is important for Africa (see figure 6). The Dominican Republic called for the assessment to take into account technology transfer capacity and opportunities, while Gambia emphasized that, due to lack of local expertise, the assessment of GHG emissions abatement did not take into account the economic impact assessment.

49. Only 28 Parties have identified least-cost GHG emissions abatement options. Of these, 10 each are from Africa and Asia and the Pacific, while six are from Latin America and the Caribbean and two from Eastern Europe. Priority areas identified for abatement options followed the same order of priority as for abatement assessment.

Other information

50. Most of the respondents (61) intend to include in their initial national communications a **list of projects** to be financed in accordance with Article 12.4. Thirty-three respondents intend to include **information for the calculation of global emission trends**, such as emission projections, socio-economic scenarios, data sources, calculation methods and information regarding software and databases used in the estimation of greenhouse gas emission inventories, as well as activity data for determining GHG inventory trends for years other than the base years proposed in the UNFCCC guidelines.

Figure 4: Sectors for vulnerability assessment

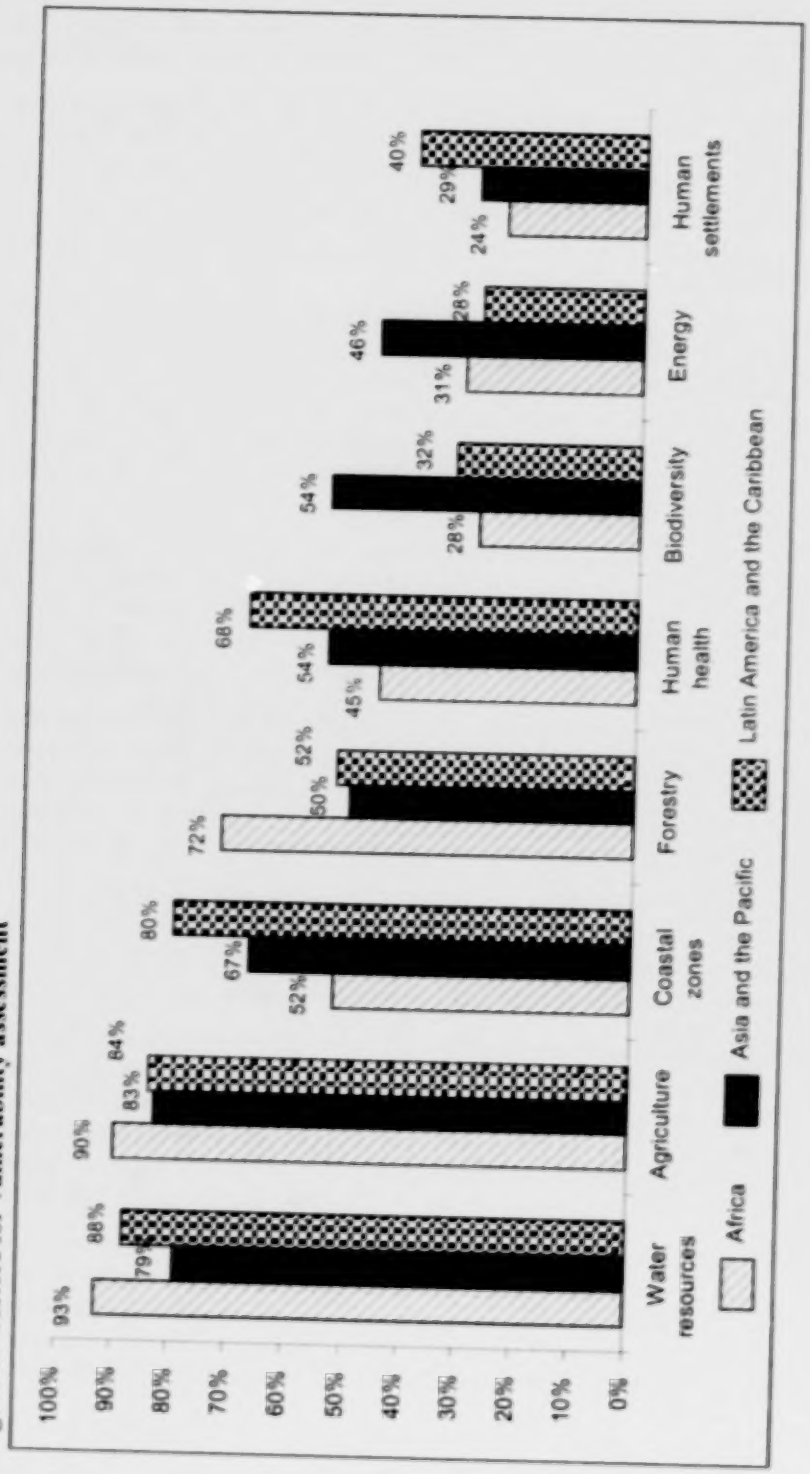


Figure 5: Sectors of adaptation options

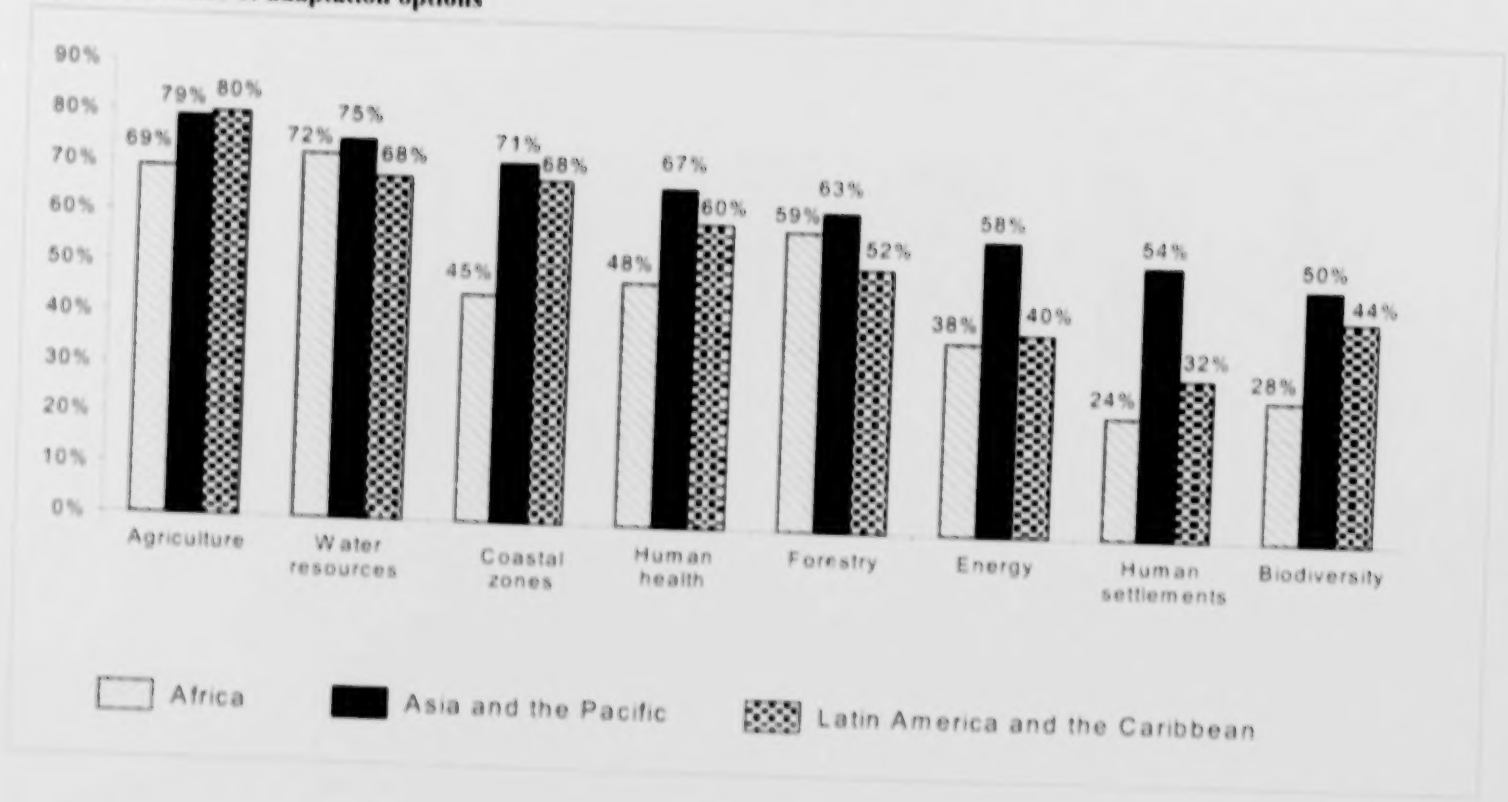
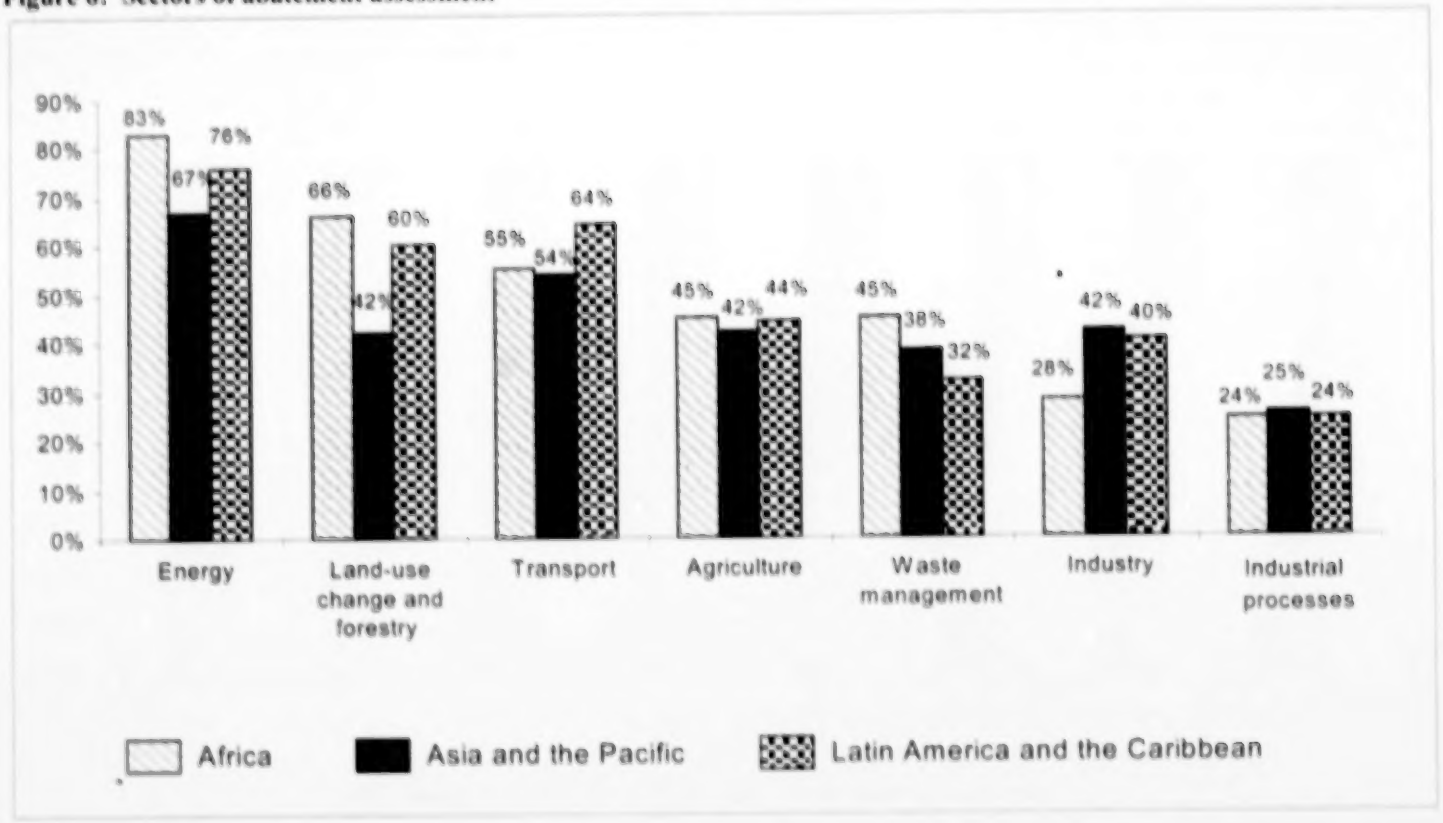


Figure 6: Sectors of abatement assessment



- - - - -